Public Disclosure Commission
Strategic Plan

FY 2003 & FY 2004 Final Report

Mission Statement

The Public Disclosure Commission was created and empowered by Initiative of the People to provide timely and meaningful public access to information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates, and to ensure compliance with disclosure provisions, contribution limits, campaign practices and other campaign finance laws.

Vision Statement

We build public confidence in the political process and government.

Statutory Authority

The Public Disclosure Commission is created pursuant to RCW 42.17.350. The Commission's powers and duties are set forth in RCW 42.17.360, 42.17.365, 42.17.367, 42.17.370, 42.17.395 and other provisions of chapter 42.17 RCW.

Goals and Objectives

1. Identify and implement strategies to make enforcement efforts more effective; evaluate results.

Objective: Secure passage of legislation that increases the PDC's penalty authority and modifies the 45-day letter period to 60 business days.

1-1 Arrange introduction of agency request legislation with bi-partisan support of legislative policy committee members. Work with prime sponsors and policy committee chair and staff to ensure committee hearing and favorable executive action. Educate Rules Committee members about legislation; secure passage from Rules Committee. Work with leadership and staff to schedule floor action and secure passage (without adverse amendments).
Who: Executive Director, Director of Public Outreach, Commissioners
Timeline: 2003 Legislative Session **(completed)**

- **Withdrew the anticipated agency request legislation and introduced one agency request bill to change the filing requirements of out-of-state and federal political committees (HB 1294). Passed. Effective 7/27/2003.**

Objective: Prioritize enforcement functions and continue to modify processes to speed resolution of complaints.

1-2 Perform a sufficient number of audits to provide a statistically valid finding regarding the degree of compliance with filing deadlines.
Who: Director of Compliance and Political Finance Specialists
Timeline: Ongoing (for following reports: F-1, L-2, L-3, C-1/F-1, and 7-day pre-general C-4 reports)

- **<u>Candidate Registration (C-1) and Personal Financial Affairs Statement (F-1) for candidates</u>**

  FY 04 (2003 elections) – 98% compliance
  FY 03 (2002 elections) – 98% compliance

- **<u>Candidates required to file 7-day pre-general C-4 report</u>**

  FY 04 (2003 elections) – 89% compliance
  FY 03 (2002 elections) – 93% compliance

- <u>**Candidates required to file 7-day pre-primary C-4 report**</u>
  FY 04 (2003 elections) – N/A
  FY 03 (2002 elections) – 93% compliance

- <u>**Personal Financial Affairs Statement (Annual F-1 report)**</u>

  FY 04 (Due April 2004) – 97% compliance
  FY 03 (Due April 2003) – 96% compliance

- <u>**Lobbyist Monthly Expense Reports (L-2 report)**</u>

  FY 04 – 99.6% compliance
  FY 03 – 94% compliance

- <u>**Lobbyist Employer Annual Report (L-3 report)**</u>

  FY 04 – 97% compliance
  FY 03 – 97% compliance

1-3 Complete routine, non-complex investigations within 90 days of receiving complaint.
Who: Director of Compliance and Political Finance Specialists
Timeline: Ongoing

- **Of the 31 routine investigations completed in FY 03, five (16%) were completed within 90 days. 29 cases (77%) were completed within 180 days.**
- **In FY 04, 81 investigations were completed. Of those, 26 (32%) were completed within 90 days, and 62 (77%) were completed within 180 days.**
- **Actual performance varies from the target due to training period for staff reassignments, preparation for increased enforcement activity and increased customer assistance for e-filers.**

1-4 Create and implement via rule-making standardized penalty mechanism (e.g., grid) for late filers and other brief enforcement hearing cases.
Who: Assistant Director (w/ Assistant Attorney General, review by Executive Director, final approval by Commission)
Timeline: December 2002 **(completed)**

The following penalty schedules were adopted into rules:

- **Annual F-1's**

- **Candidate F-1's and C-1's**
- **Lobbyist monthly L-2's**
- **Lobbyist Employer Annual L-3's**
- **Electronic Filers**

In addition, a penalty schedule for 7-day pre-election filers was also developed.

1-5 Review, identify and adopt necessary amendments to enforcement process rules (WAC 390-37).
Who: Assistant Director (w/ Assistant Attorney General, Director of Public Outreach, review by Executive Director, final approval by Commission)
Timeline: January 2004 **(completed)**

- The changes to chapter 390-37 WAC were effective December 5, 2003.

1-6 Conduct random desk and field audits of campaigns and lobbyists/ lobbyist employers.
Who: Director of Compliance and Political Finance Specialists
Timeline: In conformance with Audit Plan

Audits completed:

- **Four caucus committees and their related political committees**
- **12 candidate audits**
- **30 limited scope audits (reviews) of candidate campaigns**
- **WA State Republican Party & WA St Democratic Central Committee**

Audits not completed:

- **5 lobbyists and 5 lobbyist employers**

2. Enhance public access and awareness of PDC reports and data through evolving technology.

Objective: Continue to develop and revise user-friendly, platform independent, Internet-based electronic filing programs for persons reporting under chapter 42.17 RCW.

2-1 Seek additional funding for maintenance of software programs and updating Information Technology infrastructure to ensure security and reliability of service.
Who: Executive Director (w/ Chief Technology Officer)
Timeline: 2003 Legislative Session

- **Progress in the identification and resolution of 55 Alpha test issues have been completed with only 4 currently identified issues outstanding.**
- **Significant progress has also been achieved in the development of the software to produce hard copy printed reports of C1, C1pc, and C3 reports.**
- **The on-line report viewer has migrated from TIFF images to PDF images to use a viewer familiar to most users.**
- **The ORCA on-line help system is also more complete, including the "How do I?" and glossary sections.**
- **Drafted proposed and secured funding ($270,000) in the Capital Budget for Infrastructure Security/Disaster Recovery Systems.**
- **Funding will allow for co-location facility to provide redundant fault tolerant capabilities in the event of natural or man-made disasters.**
- **Procured two new servers and migrated production electronic filing software to them in order to better serve e-filers and public during peak filing periods.**
- **Procured new desktop personal computers for staff and updated software suites to increase staff equipment reliability and in order to refresh the aging infrastructure. Also acquired updated software that provides updated functionality and more security to increase stability and reliability.**

2-2 Recruit and consult with filer focus groups during the development or revision of the various filer reporting programs in order to address the specific needs of users.

Who: Chief Technology Officer (w/ Director of Public Outreach)
Timeline: Ongoing

- **The initial Alpha test of ORCA is currently suspended during redevelopment of several of the ORCA applications. Once the Alpha test team approves the product's functionality, we will begin notifying the Beta Test group of an impending Beta test.**
- **The initial Beta test notification will be to a small sampling of the approximately 125 interested focus group and beta test group members.**
- **A Beta product evaluation and feedback website will be developed to receive Beta test results from testers electronically providing an easily compiled report of results.**

2-3 Conduct electronic filing training sessions upon request and within available resources and according to a schedule that corresponds with:

- the start of legislative session (lobbyists),
- the February deadline for lobbyist employer reports,
- the time frame for filing declarations of candidacy,
- the April 15 due date for the annual financial affairs statement, and
- other times that meet filer needs.

Who: Chief Technology Officer (w/ Director of Public Outreach)
Timeline: As specified above

<u>**FY 04**</u>

- **30 WEDS training sessions**
- **4 Lobbyist/Lobbyist employer e-filing workshops**

<u>**FY 03**</u>

- **34 WEDS training sessions**
- **9 Lobbyist/Lobbyist employer e-filing workshops**

Objective: Create, make available and publicize political spending data, information and trend analysis for easy public consumption and use.

2-4 Generate dynamic reports regarding lobbying and campaign activity that answer frequently asked media and citizen questions.
Who: Chief Technology Officer, Webmaster and Director of Public Outreach
Timeline: Lobbying: Jan-June; Campaign Finance: July-November

Global Web Site Changes

- **Created a new historical Data section**
- **Added a Quick Launch Feature**
- **Created a Site Map**

Search Database and Data Requests Page Changes

- **Created 2004 Election Database Searches**
- **Developed 20 new servlets for 2004**
- **Added links for historical data for prior elections**

Additional Web Site Changes

- **Updated "About the PDC" Page**
- **Updated "Commission Meetings" Page**
- **Updated "Filer Assistance" Page**
- **Developed electronic Lobbyist Pictorial Directory**
- **Developed 7 on-line dynamic lobbyist reports**

2-5 Offer media briefings to highlight Web site information.
Who: Director of Public Outreach
Timeline: Lobbying--January; Campaign Finance—July

- **Individual reporters have been assisted with finding lobbyist information on-line. Notices and demonstrations will occur as new applications and reports become available.**
- **Media briefing on new website features for data**
- **Friday Facts sent to statewide media highlighting information on PDC web page (campaign season)**
- **Worked with individual political reporters to optimize usage of website campaign finance data**
- **Sent notices to media on new lobbyist data and 2003 election data on web and will set briefing schedule for 2003 election reports and ORCA in late summer.**
- **Survey of members of press will be conducted to determine if services were sufficient and information helpful.**
- **Campaign finance media briefing is scheduled for July 29, 2004.**

3. Implement Standardized Communication Practices.

Objective: Implement general and specialized communication practices.

3-1 Develop and implement communication protocols for a) routine activities, including brief enforcement hearings, PDC News, COGEL articles and training schedules, and b) emerging issues and events, including conclusion of major investigations, new electronic filing software, court decisions, and results of national assessments of disclosure agencies.
Who: Director of Public Outreach
Timeline: Routine activities -- October 2002; Emerging issues/events – Ongoing

- **Continue to work with Director of Administration on updating e-mail lists and communication timelines for notices and media events.**

	FY 03	FY 04
• **PDC News**	**7**	**8**
• **COGEL articles**	**6**	**3**
• **Media Releases/enforcement action**	**23**	**31**
• **Media Releases/other issues**	**31**	**10**

3-2 Distribute media notices regarding upcoming filing dates.
Who: Director of Public Outreach
Timeline: Ongoing

- **Developed and distributed Key Reporting Dates for elections.**
- **In addition, for filers that have provided email addresses, a "report due" notice is sent prior to each campaign reporting date.**
- **Electronic notices will also be sent to lobbyists, lobbyist employers and elected officials as well.**

3-3 Maintain agency-wide workload calendar to assure timely task completion.
Who: Director of Administration
Timeline: Ongoing

- **Workload calendar is reviewed daily and appropriate staff notified well in advance of upcoming projects/mailings.**

Objective: Identify and involve stakeholders who support advancing PDC's mission and goals.

3-4 Recruit representatives from League of Women Voters, Common Cause, Allied Daily Newspapers and other public interest groups to become involved in PDC-related issues.
Who: Director of Public Outreach
Timeline: Ongoing

- **Recruited League of Women Voters, Seattle Ethics and Elections Commission staff and business groups to support agency request legislation—developed working relationship with Allied Daily Newspaper lobbyist on issues of common concern.**
- **Worked with various groups during the legislative session and will engage stakeholders throughout the year for possible involvement in agency priorities.**

Objective: Optimize Commission and staff opportunities for educating members of the public, legislators and filers about the importance of disclosure laws.

3-5 Schedule and conduct as many presentations as possible given available resources.
Who: Director of Public Outreach
Timeline: Ongoing

<u>FY 04 – 1,275 attendees*</u>
- **23 compliance training workshops**
- **1 general workshop**
- **1 speaking engagement.**

<u>FY 03 – 1,117 attendees*</u>
- **18 compliance training workshops**
- **2 general workshops**
- **2 speaking engagements**

***Includes training listed in 2-3.**

Produced and distributed campaign materials on CD which included an instructional training video for candidates.

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4. Increase Commission and staff capacity to meet future challenges.

Objective: Maximize appropriate staff and commission training opportunities within available resources.

4-1 Review Department of Personnel training opportunities to improve the skill level of all staff.
Who: Director of Administration
Timeline: At least quarterly

The following is a listing of classes taken by staff:

FY 04

Employee	Class/Training Taken	Cost
Michael Smith	Security Training	$2,050
Susan, Vicki, Karen	Labor Relations Awareness	$ 330
Vicki, Karen, Michael, Susan	Performance Management	$ 105
Ruthann Bryant	HTML	$ 130
Suemary Trobaugh	E-Learning	$ 160
Bruce Wendler	Computer software training	$1,400
Kyle Gubbe	Computer software training	$1,000
Sally Parker	E-Learning	$160.00

FY 03

Employee	Class/Training Taken	Cost
Sally Parker	Investigator Training	$ 210
Michael Smith	Security Seminar	$ 450
Various Staff	Ethics Conference	$1,105
Michael Smith	Management Training	$ 100
Kyle Gubbe	E-Learning	$ 160
Michael, Susan, Karen	Moving from Conflict to Collaboration	$ 255

Mark Johnson	**E-Learning**	**$ 160**
Various	**First Aid Training**	**$ 315**
Mark Johnson	**Crystal Reports**	**$1,383**
Tony Perkins	**Investigator Training**	**$ 210**
Vicki, Susan	**Mediation Training**	**$ 150**
Michael Smith	**E-Learning**	**$ 160**
Various Staff	**Tactical Communications**	**No charge**

Objective: Develop succession plan.

4-2 Identify staff retirement vacancies that may occur during the next three to five years, evaluate existing skills and abilities of potential internal applicants, provide training opportunities to augment existing capabilities.
Who: Executive Director, Assistant Director, Chief Technology Officer
Timeline: July 2004

- **Two staff members, the Assistant Director and the Director of Administration, will be retiring in 2005. The duties of the Director of Administration are being reviewed to determine if changes are appropriate.**

- **When vacancies occur, promotions are made internally whenever possible. That being the case, those qualified staff members that have expressed an interest in applying for the Director of Administration position are being encouraged to register for "e-learning" courses through the Department of Personnel.**

4-3 Promote rotation of commission leadership roles through exposure to increased responsibilities; e.g., vice chair or other commission member will conduct or observe brief enforcement hearings on occasion in preparation for assuming position of chair.
Who: Commission chair and members
Timeline: **Ongoing**

Objective: Support diversity on Commission and within agency.

4-4 When staff vacancies occur, notify Human Rights Commission, Commission on Asian Pacific American Affairs, Commission on African-American Affairs and Commission on Hispanic Affairs to seek their assistance in informing diverse audiences of available positions.

Who: Director of Administration
Timeline: When recruiting to fill staff vacancies

- **For any future staff vacancies where an internal promotion does not occur, the Director of Administration will send an email to various state agency directors and human resource offices requesting assistance in notifying diverse audiences of this opportunity.**

4-5 Annually notify legislative leaders and stakeholder groups of upcoming Commission vacancy, inviting them to submit recommendations to the Governor's Office.
Who: Director of Administration (for Commission Chair's signature)
Timeline: November

- **Letter drafted. Will implement in November 2004.**

Objective: Explore and establish partnerships within government to better leverage and exchange knowledge and resources.

4-6 Improve collection procedures by: a) working with Department of General Administration, Office of Financial Management and/or Department of Revenue on collection efforts; and b) joining multi-agency effort to change law regarding collection of agency final orders to streamline the collection process and reduce state expenditures.
Who: Executive Director and Assistant Director (in conjunction with Assistant Attorneys General)
Timeline: Ongoing

	Sent to AG	**Judgments Entered**	**Collection Agency**
FY 04	**48**	**4**	**65**
FY 03	**45**	**15**	**54**

4-7 Build communication and collaboration between PDC political finance specialists and AGO paralegals in order to increase efficiency and avoid duplication of effort.
Who: Director of Compliance
Timeline: Ongoing

- **PDC staff has had discussions with the Attorney General's Office staff and will continue this effort.**

4-8 Continue to build constructive relationships with the Governor's Office, Legislators and legislative staff.
Who: Commissioners, Executive Director, Director of Public Outreach
Timeline: Ongoing

- **Attended legislative hearings and meetings with legislators regarding bills that affected the agency.**

- **Communicated regularly with members of the House and Senate Committee staff.**

- **Regularly attended Small Agency Cabinet meetings conducted by the Governor's Office.**

- **Regularly attended Legislative Liaison meeting with other agency personnel, including the Governor's Office.**

Performance Measures for FY 04

Goal: Identify and implement strategies to make enforcement efforts more effective; evaluate results

Percentage of candidates, political committees, lobbyists, and public officials who meet statutory filing deadlines

Estimate: 90%
Actual: 96%

Goal: Enhance public access and awareness of PDC reports and data through technology

Average number of days from receipt of electronically filed reports to posting on web site

Estimate: Less than 1
Actual: Real time (within minutes)

Average number of days from receipt of paper filed reports to posting on web site

Estimate: Less than 1
Actual: Less than 1 (4 hours)

Percentage of statewide executive candidates who file 1) paper reports and 2) electronically

Estimate: 5/95
Actual: 28/72 (Note: At least some paper filers may begin e-filing later this summer.)

Percentage of legislative candidates who file 1) paper reports and 2) electronically

Estimate: 20/80
Actual: 16/84

Percentage of local candidates who file 1) paper reports and 2) electronically

Estimate: 50/50
Actual: 58/42

Percentage of continuing committees that file 1) paper reports and 2) electronically

Estimate: 50/50
Actual: 41/59

Percentage of lobbyists that file 1) paper reports and 2) electronically

Estimate: 89/11
Actual: 79/21

Percentage of lobbyist employers that file 1) paper reports and 2) electronically

Estimate: 95/5
Actual: 89/11